

SEMP COMPLIANCE QUESTIONNAIRE

Element 7: Training

Date: _____

Organization Name: _____ Facility Name: _____

Additional Information about Auditee and Audit Site:

Auditors:

No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
1	P	<p>Does the management program require a documented training plan to ensure that all affected personnel are trained to work safely and are aware of environmental considerations in accordance with their job responsibilities?</p> <p>Example Expectations:</p> <ol style="list-style-type: none">1. Existence of a documented process for determining training needs.2. Written organization policy regarding training of affected personnel.3. Inclusion of provisions in the plan for retraining of affected personnel if changes in facilities or procedures warrant.		RP 75, 7.1	

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Finding Codes: C -- Conforming; N -- Non-conforming; NA -- Not Applicable.

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No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
2	B	<p>Are affected employees receiving training that addresses operating procedures pertaining to their jobs, safe work practices, and emergency response and control measures?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written training program establishing minimum levels of training in the areas cited. 2. Written requirements for the types of training found in RP 75,7.2.1. 3. Training records for the type training specified in Nos. 1 and 2. 4. Verification of training through employee interviews. 		RP 75, 7.1, 7.2.1, 7.2.2, 7.3	
3	B	<p>Do affected employees systematically receive training as mandated by regulatory agencies?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Process in place for ensuring regulatory training compliance. 2. Written requirements for types of training found in RP 75,7.2.2. 3. Training records for the type training specified in No. 2. 4. Verification of training through employee interviews. 		RP 75, 7.2.2, 7.3	

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No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
4	P	Is a process in place to verify that personnel training is adequate and effective and is provided by qualified instructors? Example Expectations: 1. Documented process for screening qualifications for training instructors. 2. Documented of process for verifying personnel retention of training.		RP 75, 7.1	
5	P	Has the organization developed qualification criteria for each job and related training? Example Expectations: 1. Written qualification criteria for each job and associated training plan. 2. Records substantiating required training elements are being met for affected positions.		RP 75, 7.2.2	
6	P	Is there a system in place for documenting that appropriate training was completed and the results recorded? Example Expectation: 1. Documentation system in force for tracking training records.		RP 75, 7.1	
7	B	Is evidence of training readily available? Example Expectation: 1. Training records readily available for inspection at the field and staff levels.		RP 75, 7.1	

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8	B	<p>Is there a process within the training plan for determining the need for and delivering periodic refresher training to affected personnel?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Evidence of periodic assessment (either testing or on-the-job) of understanding of and adherence to current operating procedures. 2. Process in place to verify personnel retention of required knowledge and skills. 		RP 75, 7.3	
9	B	<p>Does the organization have a system in place to provide applicable site-specific safety and environmental management information to contractors?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Evidence of a formal process for communicating site-specific workplace hazard information to contractors prior to and during work activities. 2. Documented process for verifying that contractor employees are trained to do the job. 3. Confirmation of process through interviews with contractors. 		RP 75, 7.5	

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10	P	Does the organization have a system in place to verify its contractors' training programs? Example Expectation: 1. Documentation of contractor training program audits, site checks of contractors individual employee training records, or observation of contractor work performance.		RP 75, 7.5	